

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Diana Hynek  
Departmental Paperwork Clearance Officer  
Office of the Chief Information Officer  
14th and Constitution Ave. NW.  
Room 6625  
Washington, DC 20230

06/23/2006

In accordance with the Paperwork Reduction Act, OMB has taken the following action on your request for approval of a revision of an information collection received on 04/07/2006.

TITLE: Southeast Region Permit Family of Forms

AGENCY FORM NUMBER(S): None

ACTION : APPROVED WITHOUT CHANGE

OMB NO.: 0648-0205

EXPIRATION DATE: 10/31/2006

BURDEN:	RESPONSES	HOURS	COSTS(\$ ,000)
Previous	59,751	15,417	745
New	59,908	15,728	651
Difference	157	311	-94
Program Change		680	14
Adjustment		-369	-108

TERMS OF CLEARANCE: None

NOTE: The agency is required to display the OMB control number and inform respondents of its legal significance (see 5 CFR 1320.5(b)).

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OMB Authorizing Official      Title

John F. Morrall III      Acting Deputy Administrator, Office of  
Information and Regulatory Affairs

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# PAPERWORK REDUCTION ACT SUBMISSION

**Please read the instructions before completing this form. For additional forms or assistance in completing this form, contact your agency's Paperwork Clearance Officer. Send two copies of this form, the collection instrument to be reviewed, the supporting statement, and any additional documentation to: Office of Information and Regulatory Affairs, Office of Management and Budget, Docket Library, Room 10102, 725 17th Street NW, Washington, DC 20503.**

1. Agency/Subagency originating request	2. OMB control number <span style="float: right;">b. <input type="checkbox"/> None</span> a. _____ - _____
3. Type of information collection ( <i>check one</i> ) a. <input type="checkbox"/> New Collection b. <input type="checkbox"/> Revision of a currently approved collection c. <input type="checkbox"/> Extension of a currently approved collection d. <input type="checkbox"/> Reinstatement, without change, of a previously approved collection for which approval has expired e. <input type="checkbox"/> Reinstatement, with change, of a previously approved collection for which approval has expired f. <input type="checkbox"/> Existing collection in use without an OMB control number For b-f, note Item A2 of Supporting Statement instructions	4. Type of review requested ( <i>check one</i> ) a. <input type="checkbox"/> Regular submission b. <input type="checkbox"/> Emergency - Approval requested by _____ / _____ / _____ c. <input type="checkbox"/> Delegated
	5. Small entities Will this information collection have a significant economic impact on a substantial number of small entities? <input type="checkbox"/> Yes <input type="checkbox"/> No
	6. Requested expiration date a. <input type="checkbox"/> Three years from approval date b. <input type="checkbox"/> Other Specify: _____ / _____
7. Title	
8. Agency form number(s) ( <i>if applicable</i> )	
9. Keywords	
10. Abstract	
11. Affected public ( <i>Mark primary with "P" and all others that apply with "x"</i> ) a. <input type="checkbox"/> Individuals or households d. <input type="checkbox"/> Farms b. <input type="checkbox"/> Business or other for-profit e. <input type="checkbox"/> Federal Government c. <input type="checkbox"/> Not-for-profit institutions f. <input type="checkbox"/> State, Local or Tribal Government	12. Obligation to respond ( <i>check one</i> ) a. <input type="checkbox"/> Voluntary b. <input type="checkbox"/> Required to obtain or retain benefits c. <input type="checkbox"/> Mandatory
13. Annual recordkeeping and reporting burden a. Number of respondents _____ b. Total annual responses _____ 1. Percentage of these responses collected electronically _____ % c. Total annual hours requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____	14. Annual reporting and recordkeeping cost burden ( <i>in thousands of dollars</i> ) a. Total annualized capital/startup costs _____ b. Total annual costs (O&M) _____ c. Total annualized cost requested _____ d. Current OMB inventory _____ e. Difference _____ f. Explanation of difference 1. Program change _____ 2. Adjustment _____
15. Purpose of information collection ( <i>Mark primary with "P" and all others that apply with "X"</i> ) a. <input type="checkbox"/> Application for benefits e. <input type="checkbox"/> Program planning or management b. <input type="checkbox"/> Program evaluation f. <input type="checkbox"/> Research c. <input type="checkbox"/> General purpose statistics g. <input type="checkbox"/> Regulatory or compliance d. <input type="checkbox"/> Audit	16. Frequency of recordkeeping or reporting ( <i>check all that apply</i> ) a. <input type="checkbox"/> Recordkeeping b. <input type="checkbox"/> Third party disclosure c. <input type="checkbox"/> Reporting 1. <input type="checkbox"/> On occasion 2. <input type="checkbox"/> Weekly 3. <input type="checkbox"/> Monthly 4. <input type="checkbox"/> Quarterly 5. <input type="checkbox"/> Semi-annually 6. <input type="checkbox"/> Annually 7. <input type="checkbox"/> Biennially 8. <input type="checkbox"/> Other (describe) _____
17. Statistical methods Does this information collection employ statistical methods <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Agency Contact (person who can best answer questions regarding the content of this submission)  Name: _____ Phone: _____

## 19. Certification for Paperwork Reduction Act Submissions

On behalf of this Federal Agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9

**NOTE:** The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. *The certification is to be made with reference to those regulatory provisions as set forth in the instructions.*

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It used plain, coherent, and unambiguous terminology that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention period for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3):
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of instructions);
- (i) It uses effective and efficient statistical survey methodology; and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of the provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.

Signature of Senior Official or designee

Date

Agency Certification (signature of Assistant Administrator, Deputy Assistant Administrator, Line Office Chief Information Officer, head of MB staff for L.O.s, or of the Director of a Program or StaffOffice)	
Signature	Date
Signature of NOAA Clearance Officer	
Signature	Date

**SUPPORTING STATEMENT  
SOUTHEAST REGION PERMIT FAMILY OF FORMS  
OMB CONTROL NO. 0648-0205**

**INTRODUCTION**

The Magnuson-Stevens Fishery Conservation and Management Act (Magnuson-Stevens Act) authorizes the Gulf of Mexico Fishery Management Council (Council) to prepare and amend fishery management plans for any fishery in waters under its jurisdiction. National Marine Fisheries Service (NMFS) manages the shrimp fishery in the waters of the Gulf of Mexico (GOM) under the Shrimp Fishery Management Plan (FMP). Regulations implementing the FMP appear at 50 CFR 600.305, 50 CFR 600.315, and 50 CFR 622.5.

Amendment 13 of the Gulf of Mexico (GOM) shrimp fishery FMP amends the FMP to include a royal red shrimp endorsement, an observer program, and an annual landings report. Additionally, the final rule implementing Amendment 13 to the shrimp FMP establishes a new requirement to have all permit transfers in the Gulf of Mexico notarized. Burden hours and costs for this requirement will be also be added to 0648-0327, Highly Migratory Species Permit Family of Forms.

**A. JUSTIFICATION**

**1. Explain the circumstances that make the collection of information necessary.**

The royal red shrimp fishery in the GOM is a very small component of the overall shrimp fishery, and there are very limited data on this fishery on which to make management decisions. Consequently, there is a need to collect additional information on areas fished, effort, catch per unit effort (CPUE), markets, value, etc. A separate royal red shrimp vessel permit or an endorsement to the existing commercial shrimp vessel permit would provide a readily accessible database from which to identify participants in this fishery. In addition, a requirement to provide annual landings will identify species composition within the fishery. Having such a database will allow managers and scientists to gather additional biological, social, and economic data in order to appropriately manage this fishery where and when warranted.

In developing a methodology to assess the amount and type of bycatch for the shrimp fishery of the GOM as required by Section 303 (a) (11) of the M-SFCMA, the Council is confronted with two problems. First, the bycatch is made up of a very large number of species that differ depending on the species of shrimp being harvested, environmental perturbations, and the geographic location of trawling. This problem is compounded by seasonal differences in abundance and the fact that the vast majority of this bycatch is made up of species that have very little or no commercial or recreational value and are discarded. The total amount of bycatch is also large at approximately 600.0 million pounds, annually. Consequently, although a rough estimation of the amount of bycatch can be made by sampling bycatch to shrimp catch ratios and multiplying, this method does not address the legal requirement of assessing the “type” of bycatch because being unwanted it is discarded without identification.

The second problem is concerned with estimating effort. There are currently approximately

2,500 permitted vessels that harvest shrimp from the Exclusive Economic Zone, and the Council estimates that there are over 13,000 boats that fish in state waters. With such a large number of vessels of differing sizes, gears used, and fishing capabilities compounded by seasonal variability in abundance and price and the broad geographic distribution of the fleet, it is practically impossible to estimate the actual amount of fishing effort using current methods and data.

Falsifying permit transfers has caused a number of problems to both the permit section and the fishermen themselves. The new requirement of notarized transfers is expected to quell the problem of forged or falsified permit transfers.

**2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.**

The information requested by a separate royal red shrimp endorsement, landings reporting, and an observer program are used by various offices of NMFS, Regional Fishery Management Council staff, the U.S. Coast Guard and state fishery agencies under contract to NMFS to develop, implement and monitor fishery management strategies. Analyses and summarizations of endorsement and observer data are used by NMFS, the Regional Councils, the Departments of State and Commerce, OMB, the fishing industry, Congressional staff and the public to answer questions about the nature of the Nation's fishery resources.

These data serve as input for a variety of uses, such as: biological analyses and stock assessments; E.O. 12291 regulatory impact analyses; quota and allocation selections and monitoring; economic profitability profiles; trade and import tariff decisions; allocations of grant funds among states; identify ecological interactions among species. The NMFS would be significantly hindered in its ability to fulfill the majority of its scientific research and fishery management missions without these data.

The permit family of forms has evolved as a means of collecting data from specific user groups within fisheries that are managed under federally implemented fishery management plans (FMP). The Southeast Fisheries Science Center (SEFSC) has the responsibility for both preparation of stock assessments (estimation of maximum sustainable yield and/or other indexes of biomass) and collection of the scientific data that are required to perform the assessments. A secondary data collection responsibility is to provide information that is necessary to routinely monitor and evaluate the conditions in the fisheries under Federal management.

The notarization of permit transfers will be used by the permit section to verify and authenticate transfer requests.

NMFS retains control over the information and safeguards it from improper access, modification, and destruction, consistent with NOAA standards for confidentiality, privacy, and electronic information. The information collection is designed to yield data that meet all applicable information quality guidelines. Prior to dissemination, the information will be subjected to quality control measure and a pre-dissemination review pursuant to Section 515 of the Public Law 106-554.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.**

Regarding the permitting data collection, the Southeast Region's Web site allows the public to obtain a printed copy of the permit application via downloading to their printer. Otherwise, the Southeast Region currently has no resource or technological capability for electronic (i.e., Web site) permit application and issuance. This capability cannot be accomplished in the Southeast Region without significant changes to the permit issuance criteria and our permit issuance processes. These changes have been initiated, in that the Southeast Region Permits Team may be switching from a non-Web database (Rbase) to a Web-based database (Oracle) in the future. The Southeast Region also has initiated clearance of a survey of permitted vessel owners to determine the feasibility of Web site application and associated costs/benefits. The survey results will be used to evaluate the feasibility of electronic permit transactions for possible inclusion in future permitting system changes and resource/technology allocations. Such changes could support NOAA's proposed initiative for One-Stop Shopping (to improve customer service through coordination of NOAA consultation and permitting activities).

**4. Describe efforts to identify duplication.**

The Magnuson-Stevens Act's operational guidelines require each FMP to evaluate existing state and federal laws that govern the fisheries in question, and the findings are made part of each FMP. Each Fishery Management Council membership is comprised of state and federal officials responsible for resource management in their area. These two circumstances identify other collections that may be gathering the same or similar information. In addition, each FMP undergoes extensive public comment periods where potential applicants review the proposed permit application requirements. Therefore, NMFS is confident it is aware of similar collections if they exist. The other information proposed to be collected is not being collected elsewhere; therefore, this data collection would not cause duplication.

**5. If the collection of information involves small businesses or other small entities, describe the methods used to minimize burden.**

Because all applicants are considered small businesses, separate requirements based on size of business have not been developed. Only the minimum data to meet the current and future needs of NMFS' fisheries management are requested from the vessel owners.

**6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

Information in the royal red shrimp fishery is lacking particularly in regard to catch, effort, operating costs, and the estimate of maximum sustainable yield. The recently enacted federal shrimp vessel permit includes royal red shrimp vessels; however, data manipulations and additional queries will be required to determine vessels specifically targeting royal red shrimp in order to improve the current knowledge base for this fishery. Requiring a separate permit or endorsement to the federal shrimp vessel permit to harvest royal red shrimp would provide a readily available database from which to obtain additional information about this fishery, including its participants, markets, and other socioeconomic factors. Additionally, annual

landings reports will allow fishery managers to identify composition of the fishery by weighted landings data.

The only practical way of improving the estimates of the amount and type of bycatch is by having a more precise means of estimating effort than is currently used by NMFS port samplers and mandatory observer coverage to characterize bycatch. Additional observers sampling at least a portion of the harvest throughout the shrimping season and geographic distribution of the shrimp fishery to gather data on the amount and type of bycatch is needed. An improved estimate of effort could then be used to extrapolate the sample estimate of bycatch to develop a total estimate of the amount and type of bycatch.

If we can not identify the effort of the shrimp industry in the Gulf of Mexico, characterizing the amount and type of bycatch within the fishery becomes extremely difficult, if not impossible. The Southeast Region would be in violation of the M-SFCMA Section 303 (a) (11) if bycatch amount and type is not identified in the shrimp fishery. In addition, due to the seasonal variability in abundance and price and the broad geographic distribution of the fleet, it is practically impossible to estimate the actual amount of fishing effort using current methods and data. Due to this seasonality it is essential that the data be collected at regular intervals.

The notary requirement was developed by permit staff to alleviate the problem of receiving false or inaccurate permit transfer requests. This requirement should mitigate the effects of falsifying permit transfers to both the permit office and the fishermen.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

There are no special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

**8. Provide a copy of the PRA Federal Register notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

NMFS is currently developing a proposed rule (Amendment 13 to the GOM shrimp FMP) which will be published for public comment in the Federal Register. Because this data collection program is part of a fishery management plan, all aspects of the program have been reviewed by both statistical and constituent advisory committees. Furthermore, comments and suggestions from fishermen are routinely submitted, reviewed, and considered. Experience with the various programs, some of which have been operating for many years, provides a continual feedback mechanism to NMFS on issues and concerns to the applicants. This did not raise an unusual amount of controversy during the Council development process. There are no major problems that have not been resolved.

**9. Explain any decisions to provide payments or gifts to respondents, other than**



**remuneration of contractors or grantees.**

There are no payments or other remunerations to respondents.

**10. Describe any assurance of confidentiality provided to respondents and the basis for assurance in statute, regulation, or agency policy.**

All data submitted under the proposed collection will be handled as confidential material in accordance with M-SFCMA, Section 402b, and NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

No questions of a sensitive nature are asked.

**12. Provide an estimate in hours of the burden of the collection of information.**

The current public reporting burden for this collection of information is 15,417.

Program changes due to new requirements will result in an increase of 680 hours: 5 hours for the royal red endorsement (14 vessels x 22 minutes each), 208 for the landings report (250 vessels x 5 minutes each), 17 for the observer program (200 vessels x 5 minutes each), and 450 for notarized signatures (1350 transfers per year x 20 minutes) from the previous hours requested.

In addition to the above changes, program adjustments (decrease of 369 hours – see #15) result in a **new net estimated public reporting burden of 15,728 hours** (680 minus 369 = net increase of 311).

**13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in #12 above).**

The current annual cost burden is \$744,954.

The royal red shrimp endorsement will require a \$20 fee for the 14 vessels known to be involved with this fishery for a total cost of \$280. No fee is charged for the observer program or the landings report. A notarization costs \$10 per visit, though these costs may be reduced if the fishermen's bank or other business associations offer this service free of charge to their customers. Otherwise the total cost of the notary requirement would be \$13,500 (1350 permit transfers per year at \$10.00). The total increase due to the new requirements is \$13,780.

In addition to the above changes, program adjustments (decrease of \$107,779 – see #15) result in a **new net estimated public reporting/recordkeeping cost of \$650,955** (plus \$13,780 minus \$107,779 = net decrease of \$93,999).

**14. Provide estimates of annualized cost to the Federal government.**

There is no additional cost to the Federal government for the royal red shrimp endorsement or the landings report, as these will be handled in the same manner as all permits and landings data. In addition, the small number of participants in the royal red fishery (14) will not require any substantial change in the cost of processing the permits.

The observer program is estimated to cost \$1,040,000 (\$1300/sea day, with the expectation of 800 sea days) per year. The notarization requirement would not add any additional cost to the Federal government.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.**

The increases in burden hours and costs are program changes resulting from new requirements. The current reporting burden for this family of forms (0648-0205) is 15,417. If NMFS implements the additional royal red shrimp endorsement, the observer program requirements, and the notary requirement on permit transfers as proposed in Amendment 13 and the proposed rule, an increase of 680 hours (5 for the additional endorsement, 208 for the landings reporting, 17 for the observer program, and 450 for the notary requirement) will be required. This increase will be a program change. Notarization of the 1350 transfer permits per year will add a cost of \$13,500 per year.

At this time, we are also adjusting burden hours and associated costs: in the 2005 renewal of 0648-0327, Atlantic Highly Migratory Species Permit Family of Forms, vessel and dealer permits for shark and swordfish were transferred from 0648-0205: 1557 responses, 369 hours and \$107,779 in permit fees.

Based on the program changes and the adjustment, the NET changes for this collection are: an increase of 311 hours, an increase of 157 responses, and a decrease of \$93,999.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

The results from this collection are not planned for statistical publication, although NOAA Fisheries may distribute the results of the observations for general information.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

The OMB number will be displayed where appropriate.

**18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.**

There are no exemptions to the certification statement identified in Item 19 of OMB 83-I.

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

This collection in itself does not employ statistical methods.

**FEDERAL PERMIT APPLICATION FOR VESSELS  
FISHING IN THE EEZ FOR SHRIMP**

OMB Control No.: 0648-0205

Expiration Date: 10/31/06

U.S. DEPARTMENT OF COMMERCE  
NOAA FISHERIES PERMITS BRANCH, F/SER1  
263 13th Avenue South  
St. Petersburg, FL 33701  
727/824-5326 (8 am - 4:30 pm ET)  
<http://sero.nmfs.noaa.gov>



FOR OFFICE USE ONLY
Check/money order #:
Reviewer's Initials/Date:
Violation Date:
Violation Cleared Date:
Expiration Date:

**VESSEL INSTRUCTIONS**

1. In filling out the information below, most applicable vessel/gear information can be found on the U.S. Coast Guard Documentation or state registration for the vessel. A current copy of the Coast Guard Documentation or if not documented a current copy of the state registration must be provided.
2. The application fee is \$50 for the first permit, \$20 for each additional permit. A non-refundable check or money order made payable to the U. S. Treasury must accompany the application.
3. Please print legibly or type. An incomplete or illegible application will be returned.

**PERMITS APPLIED FOR**

- ☐ Gulf of Mexico Shrimp Permit ☐ Gulf of Mexico Royal Red Shrimp Endorsement to the Gulf of Mexico Shrimp Permit.
- ☐ South Atlantic Open Access Pinhead Shrimp Permit (does not include South Atlantic Rock Shrimp or South Atlantic Rock Shrimp Limited Entry area endorsement)

**VESSEL AND GEAR INFORMATION**

CG Doc or State Registration No.  
(official number)

Vessel Name

Hull ID Number

Year Built

Length (ft)

Horsepower

Gross tons

Net tons

Fish Hold Capacity (tons; not pounds)

Hull Material

Fuel Type

Fuel Capacity  
(gallons only)

Homeport City

Homeport State

How do you store your shrimp on board your vessel  
(Freezer or Ice)

How do you harvest your shrimp?  
(Shrimp Trawl or other type of harvesting gear)

## VESSEL OWNER/LESSEE INSTRUCTIONS

1. Enter the information of the person shown as the "**owner**" on the vessel's Coast Guard Documentation or, if not documented, on the state registration certificate. If the person shown as the "**owner**" is a corporation or partnership, enter the Federal ID number and date the corporation was formed or partnership was filed. If the owner is an individual, enter the Social Security Number. If the vessel is corporately owned, a copy of the Active Articles of Incorporation (for new owners) and a copy of the most current annual business report must be submitted. An inactive corporation will not be issued a permit.
2. By placing an "X" in the Mailing Recipient block, this indicates who you select to receive the permit and all related information.
3. If the vessel is being operated under a lease or other written management agreement that bestows control over the destination, function or operation of the vessel to a person other than the vessel owner (i.e., as stated on the Coast Guard Documentation or state registration), you must submit information on each lessee, as well as a copy of current lease agreement with beginning and ending dates. If such lease or written management agreement exists, the lessee is the owner for the purposes of the permit. The lease must be signed by all parties.

<input type="checkbox"/> Mailing Recipient						
Relationship (owner or lessee):			Check one <input type="checkbox"/> Individual <input type="checkbox"/> Business			
Last Name	First Name	Middle Name	Prefix Name	Suffix Name		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Mailing Address	City	State	County	Zip Code	Country	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Federal ID #	SSN	Date of Birth/Corp. filed	Phone	Lease Start Date	Lease Expiration Date	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

<input type="checkbox"/> Mailing Recipient						
Relationship (owner or lessee):			Check on <input type="checkbox"/> Individual <input type="checkbox"/> Business			
Last Name	First Name	Middle Name	Prefix Name	Suffix Name		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Mailing Address	City	State	County	Zip Code	Country	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Federal ID #	SSN	Date of Birth/Corp. filed	Phone	Lease Start Date	Lease Expiration Date	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

### **SIGNATURE** (The application must be signed and dated.)

The undersigned certifies that he/she meets all applicable requirements for the requested permit.

<input type="text"/>	<input type="text"/>	<input type="text"/>
Owner's/Lessee's/Shareholder's Signature	Position (if owner/lessee is a business or partnership)	Date

## Officer/Shareholder Information

Company name

Owner or lessee for vessel:

Business ID (Office use only):

Federal ID #

1. All individuals associated with the above-named company must be included in this application. Attach additional sheets as necessary to list all officers, directors, shareholders, and registered agents of the corporation. Provide names, addresses, phone number, date of birth, and position held in corporation.

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Jason Rueter, NMFS, Sustainable Fisheries Division, 263 13th Avenue S. St. Petersburg, FL 33701 or [Jason.Rueter@noaa.gov](mailto:Jason.Rueter@noaa.gov).

All data submitted will be handled as confidential material in accordance with the Magnuson-Stevens Act, Section 402 B, and **NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics**. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

**FEDERAL PERMIT APPLICATION FOR VESSELS  
FISHING IN THE EEZ FOR SHRIMP**

OMB Control No.: 0648-0205

Expiration Date: 10/31/06

U.S. DEPARTMENT OF COMMERCE  
NOAA FISHERIES PERMITS BRANCH, F/SER1  
263 13th Avenue South  
St. Petersburg, FL 33701  
727/824-5326 (8 am - 4:30 pm ET)  
<http://sero.nmfs.noaa.gov>



FOR OFFICE USE ONLY
Check/money order #:
Reviewer's Initials/Date:
Violation Date:
Violation Cleared Date:
Expiration Date:

**VESSEL INSTRUCTIONS**

1. In filling out the information below, most applicable vessel/gear information can be found on the U.S. Coast Guard Documentation or state registration for the vessel. A current copy of the Coast Guard Documentation or if not documented a current copy of the state registration must be provided.
2. The application fee is \$50 for the first permit, \$20 for each additional permit. A non-refundable check or money order made payable to the U. S. Treasury must accompany the application.
3. Please print legibly or type. An incomplete or illegible application will be returned.

**PERMITS APPLIED FOR**

- ☐ Gulf of Mexico Shrimp Permit ☐ Gulf of Mexico Royal Red Shrimp Endorsement to the Gulf of Mexico Shrimp Permit.
- ☐ South Atlantic Open Access Pinhead Shrimp Permit (does not include South Atlantic Rock Shrimp or South Atlantic Rock Shrimp Limited Entry area endorsement)

**VESSEL AND GEAR INFORMATION**

CG Doc or State Registration No.  
(official number)

Vessel Name

Hull ID Number

Year Built

Length (ft)

Horsepower

Gross tons

Net tons

Fish Hold Capacity (tons; not pounds)

Hull Material

Fuel Type

Fuel Capacity  
(gallons only)

Homeport City

Homeport State

How do you store your shrimp on board your vessel  
(Freezer or Ice)

How do you harvest your shrimp?  
(Shrimp Trawl or other type of harvesting gear)



## VESSEL OWNER/LESSEE INSTRUCTIONS

1. Enter the information of the person shown as the "**owner**" on the vessel's Coast Guard Documentation or, if not documented, on the state registration certificate. If the person shown as the "**owner**" is a corporation or partnership, enter the Federal ID number and date the corporation was formed or partnership was filed. If the owner is an individual, enter the Social Security Number. If the vessel is corporately owned, a copy of the Active Articles of Incorporation (for new owners) and a copy of the most current annual business report must be submitted. An inactive corporation will not be issued a permit.
2. By placing an "X" in the Mailing Recipient block, this indicates who you select to receive the permit and all related information.
3. If the vessel is being operated under a lease or other written management agreement that bestows control over the destination, function or operation of the vessel to a person other than the vessel owner (i.e., as stated on the Coast Guard Documentation or state registration), you must submit information on each lessee, as well as a copy of current lease agreement with beginning and ending dates. If such lease or written management agreement exists, the lessee is the owner for the purposes of the permit. The lease must be signed by all parties.

<input type="checkbox"/> Mailing Recipient						
Relationship (owner or lessee):			Check one <input type="checkbox"/> Individual <input type="checkbox"/> Business			
Last Name	First Name	Middle Name	Prefix Name	Suffix Name		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Mailing Address	City	State	County	Zip Code	Country	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Federal ID #	SSN	Date of Birth/Corp. filed	Phone	Lease Start Date	Lease Expiration Date	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

<input type="checkbox"/> Mailing Recipient						
Relationship (owner or lessee):			Check on <input type="checkbox"/> Individual <input type="checkbox"/> Business			
Last Name	First Name	Middle Name	Prefix Name	Suffix Name		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>		
Mailing Address	City	State	County	Zip Code	Country	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Federal ID #	SSN	Date of Birth/Corp. filed	Phone	Lease Start Date	Lease Expiration Date	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

### **SIGNATURE** (The application must be signed and dated.)

The undersigned certifies that he/she meets all applicable requirements for the requested permit.

<input type="text"/>	<input type="text"/>	<input type="text"/>
Owner's/Lessee's/Shareholder's Signature	Position (if owner/lessee is a business or partnership)	Date

## Officer/Shareholder Information

**Company name**

**Owner or lessee for vessel:**

Business ID (Office use only):

**Federal ID #**

1. All individuals associated with the above-named company must be included in this application. Attach additional sheets as necessary to list all officers, directors, shareholders, and registered agents of the corporation. Provide names, addresses, phone number, date of birth, and position held in corporation.

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Position held in company				BusinessID # (office use only)	
<input type="text"/>				<input type="text"/>	
Mr. / Mrs. / Ms.	Last Name	First Name	Middle Name	Suffix name (e.g. Jr., Sr., III, etc.)	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Street		Area Code/Telephone		SSN	
<input type="text"/>		<input type="text"/>		<input type="text"/>	
City	County	State	Zip Code	Date of Birth	
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Jason Rueter, NMFS, Sustainable Fisheries Division, 263 13th Avenue S. St. Petersburg, FL 33701 or [Jason.Rueter@noaa.gov](mailto:Jason.Rueter@noaa.gov).

All data submitted will be handled as confidential material in accordance with the Magnuson-Stevens Act, Section 402 B, and **NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics**. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

# Gulf of Mexico Shrimp Federal Permit Reporting Form

Permit Holder Name: \_\_\_\_\_ Federal Permit No.: \_\_\_\_\_

Vessel Documentation Number (USCG or State issued number): \_\_\_\_\_

Vessel or Boat Name: \_\_\_\_\_

Shrimp Landings Report:  
Please report the total shrimp landings in pounds for the Year by Species and Condition (Head off or Head on) as it was landed in the Table provided:

Fishing Year January 1, \_\_\_\_\_ through December 31, \_\_\_\_\_

Species	Head off Pounds	Head on Pounds
Brown	_____	_____
Pink	_____	_____
White	_____	_____
Rock	_____	_____
Seabobs	_____	_____
Royal Reds	_____	_____
Other	_____	_____

Authorized Signature: \_\_\_\_\_

Public reporting burden for this collection of information is estimated to average XX minutes per response including the time for reviewing the instructions, searching the existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this burden to Phil Steele, National Marine Fisheries Service, 9721 Executive Center Drive N., St. Petersburg, Florida 33702. This reporting is required under and is authorized under 50 CFR 622.5(a)(5)(i). Information submitted will be treated as confidential in accordance with NOAA Administrative Orders. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection displays a currently valid OMB Control Number. The NMFS requires this information for the conservation and management of marine fishery resources. The data will be used to monitor the quota for this fishery.

# TRANSFER

## All Permit Transfers Require Notarization by a Licensed Notary.

New owners of Limited Access/Moratorium permits must meet the earned income requirement not later than the first full calendar year after the issuance of the permit.

1. If applying for a TRANSFER of a GULF OF MEXICO REEF FISH, KING MACKEREL, or GILLNET ENDORSEMENT FOR KING MACKEREL PERMIT, please provide the following information:

- **Transfer of Gulf of Mexico Reef Fish, King Mackerel, or Gillnet Endorsement for King Mackerel Permit - Same Owner:** An owner of a permitted vessel may transfer the vessel permit to another vessel owned by same owner by returning the original permit with an application for a vessel permit for the replacement vessel.
- **Transfer of Gulf of Mexico Reef Fish or King Mackerel Permit - New Owner:** A person purchasing a vessel with a permit or purchasing a permit only may transfer the permit, **if the permit has not expired**, and renew it for the first calendar year after the purchase without meeting the earned income requirement, provided the previous owner (not operator) met that requirement. To transfer, **original permit with valid (not expired) expiration date**, signatures of **all** parties on back of permit, and a copy of the vessel documentation or state registration must accompany a completed application.
- **Transfer of Gillnet Endorsement for King Mackerel Permit - New Owner** - This permit may be transferred upon change of ownership of a permitted vessel with such endorsement from one to another of the following: husband, wife, son, daughter, brother, sister, mother, or father.

2. If applying for a TRANSFER of Red Snapper License, please provide the following information:

- **Transfer of Red Snapper Class 1 or Class 2 Licenses - Same Owner:** To transfer license to same owner, different vessel, no signatures are required. You must submit original permit, written request, and a \$50 check/money order as to where you want to transfer permit.
- **Transfer of Red Snapper Class 1 or Class 2 Licenses - New Owner** - If transferring to a new owner, original permit with signatures on back, written request if vessel currently holds existing permits. If vessel does not hold a current permit, must submit an application, original permits with signatures on back, copy of current CG Documentation or State Registration.
- **Red Snapper Class 1 License Placement:** If individual is placing their Class 1 Red Snapper license on a boat that already holds Federal permits, they need to send a written request, and the original Red Snapper license. If individual is placing their Class 1 Red Snapper license on a vessel owned by a another entity, they must submit an application, check/money order, vessel Coast Guard Documentation or State Registration of vessel owner, and original permit.

3. If a qualified applicant wishes to TRANSFER the rights of a LIMITED ACCESS ATLANTIC ROCK SHRIMP ENDORSEMENT

- **Transfer of Rock Shrimp Endorsement - New Owner** - If transferring to a new owner, must submit an application if vessel holds no other permits, copy of CG Documentation or State Registration, if not documented, original endorsement with signatures on back, and check/money order. If vessel owner already holds permits, a written request, original endorsement and check/money order for transfer.
- **Transfer of Rock Shrimp Endorsement - Same Owner** - If transferring rights to same owner different vessel and vessel already holds permits, a written request, original permit, and check/money order. If vessel holds no permits, an application, copy of CG Documentation or state registration, if not documented, original endorsement, and check/money order.

4. If applying for a TRANSFER of a SOUTH ATLANTIC SNAPPER-GROUPER PERMIT, please provide the following information:

- **Transfer of Unlimited Permit - Same Owner:** An owner of a permitted vessel may transfer the vessel permit to another vessel owned by the same owner by returning the original permit with an application for a vessel permit for the replacement vessel.
- **Transfer of Unlimited Permit - New Owner:** A person desiring to acquire a limited access transferable permit for South Atlantic snapper-grouper permit must obtain and exchange two such permits for one new permit. The two original permits with **valid (not expired) (not expired) expiration date**, signatures of both parties on back and a copy of the vessel documentation or state registration must accompany a completed application.
- **Transfer of 225-pound Trip Limit Permit - Same Owner:** An owner of a vessel with a trip limit permit may request that the RA transfer the permit to another vessel owned by the same entity by returning the original permit with an application for a vessel permit for the replacement vessel.
- **Transfer of 225-pound Trip Limit Permit New Owner:** The permit is not transferable to a new owner. Can be transferred to different vessel same owner.

5. If applying for a TRANSFER of a Atlantic SHARK or SWORDFISH PERMIT, please provide the following information:

- **Transfer of Permit - Same Owner:** An owner of a permitted vessel may transfer the vessel permit to another vessel owned by same owner by returning the original permit with an application for a vessel permit for the replacement vessel. Such transfers would be subject to upgrading restrictions: **for swordfish handgear or swordfish and shark directed permits (cannot exceed 10% increase in length, gross or net tonnage and 20% increase in horsepower of initial vessel)**. Swordfish handgear permits are transferable, but only for use with handgear.
- **Transfer of Permit - New Owner:** A person purchasing a vessel with a permit or purchasing a permit only may transfer the permit. To transfer, **original permit with valid (not expired) expiration date**, signatures of both parties on back of permit, and a copy of the vessel documentation or state registration must accompany a completed application. Such transfers would be subject to upgrading restrictions: **for swordfish handgear or swordfish and shark directed permits (cannot exceed 10% increase in length, gross or net tonnage and 20% increase in horsepower of initial vessel)**. Swordfish handgear permits are transferable, but only for use with handgear.

6. If applying for a TRANSFER of a GULF COASTAL MIGRATORY PELAGIC CHARTER or GULF REEF FISH CHARTER permit, please provide the following information:

- **Transfer of Gulf Coastal Migratory Pelagic Charter or Gulf Reef Fish Charter Permit - Same Owner** - An owner of a permitted vessel may transfer the vessel permit to another vessel owned by the same entity by returning the original permit with an application for a vessel permit for the replacement vessel.
- **Transfer of Gulf Coastal Migratory Pelagic Charter or Gulf Reef Fish Charter Permit - New Owner** - A person purchasing a vessel with a permit or purchasing a permit only may transfer the permit, **if the permit has not expired**. To transfer, original permit with valid (not expired) expiration date, signatures of all parties on back of permit, and a copy of the vessel documentation or state registration, U.S. Coast Guard Operator of Uninspected Passenger Vessel license (commonly referred to as a 6-pack license) or a USCG Masters license, and copy of the vessel documentation or state registration must accompany a completed application.

- **Transfer of Historical Captain for Coastal Migratory Pelagic Charter or Gulf Reef Fish Charter** - A person with a historical captain endorsement may only transfer to another vessel that he/she operates, and cannot be transferred to a vessel with a higher authorized passenger capacity than the vessel from which the permits was transferred. To transfer, **original permit with valid (not expired) expiration date**, copy of his/her U.S. Coast Guard Operator of Uninspected Passenger Vessel license (commonly referred to as a 6-pack license) or a USCG Masters license, and copy of the vessel documentation or state registration must accompany a completed application.

**NOTE:** Upon transfer of a Gulf of Mexico moratorium Coastal Migratory Pelagics charter/headboat permit and/or Gulf of Mexico moratorium Reef Fish charter/headboat permit, the Federal charter/headboat **decal must be removed** from your vessel.

EARNED INCOME OR GROSS SALES REQUIREMENTS FOR COMMERCIAL PERMITS

	KING & SPANISH MACKEREL	REEF FISH (GULF OF MEXICO)	SPINY LOBSTER
Percentage of earned income	At least 25%	More than 50%	At least 10%
Gross sales alternative	More than \$10,000 in sales of fish	N/A	N/A
Source of earned income	Commercial, charter, or headboat	Commercial, charter, or headboat	Sale of catch
Time frame for qualification	One of three years prior to application	Either of two years prior to application	Year prior to application

The following fisheries do not require any earned income:

Charter for Coastal Migratory Pelagic Fish  
Gulf of Mexico Charter/Headboat for Reef Fish  
South Atlantic Charter for Snapper-Grouper  
Spiny Lobster Tailing  
South Atlantic Rock Shrimp  
Unlimited South Atlantic Snapper-Grouper excluding Wreckfish  
225 lbs. Trip Limit South Atlantic Snapper-Grouper excluding Wreckfish  
Swordfish Shark

Documentation of earned income must include the following information: all wages or salaries earned by the applicant; any business income or loss and type of business of the applicant; gross sales from fishing of a sole proprietorship business of the applicant; and net profit or loss from fishing of a sole proprietorship business of the applicant. The documentation must specify the calendar year for which it applies. Instead of the individual items of information specified above, the applicant may submit copies of those portions of the individual's income tax return that show those items, i.e., Pages 1 & 2 of Form 1040, W-2(s), Schedule C(s) and, if applicable, Schedule E.

For a corporation/partnership owned vessel, percentage of earned income requirement must be met by an officer or shareholder of the corporation, a general partner or the vessel operator. When an officer/shareholder/partner documents his/her earned income from fishing, the corresponding corporate or partnership documented income, including shareholder's share of income and copy of Articles of Incorporation, must be submitted. The documentation must specify the calendar year for which it applies. Instead of these individual items of information, the officer/shareholder/partner may submit copies of his/her individual income tax return and the corresponding corporate or partnership income tax return, including Schedule K-1.

If using gross sales alternative, the applicant must submit copies of receipts indicating sales of fish harvested from the owner's, operator's, corporation's or partnership's vessel for a specified year (copy of Salt Water Products License (SPL) must be submitted). Instead of such receipts, the applicant may submit copies of those portions of the individual/corporation income tax return that show this information, i.e., Pages 1 & 2 of Schedule C, C-EZ, Form 1120, 1120A, 1120S or 1065.

Previously submitted documentation that meets the time frame for qualification need not be resubmitted. Renewal of a permit that was issued based on the earned income of an operator must be accompanied by new documentation of earned income when a new or additional operator meets the requirements. Copies of income tax forms and schedules and all information submitted for documentation or earned income from fishing or gross sales of fish are treated as confidential.

KNOWINGLY SUPPLYING FALSE INFORMATION OR WILLFULLY OVERVALUING ANY FISHING INCOME FOR THE PURPOSE OF OBTAINING A PERMIT IS A VIOLATION OF FEDERAL LAW PUNISHABLE BY A FINE AND/OR IMPRISONMENT.

Public reporting burden for this collection of information is estimated to average 20 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other suggestions for reducing this burden to Robert A. Sadler, National Marine Fisheries Service, F/SER22, 9721 Executive Center Drive N., St. Petersburg, FL 33702.

The National Marine Fisheries Service requires this information for the conservation and management of marine fishery resources. The data reported will be used to develop, implement, and monitor fishery management activities for a variety of other uses. Responses to this collection are required to obtain or retain a fisheries permit under the Magnuson - Stevens Act. Confidential name and address information will be released via a NOAA Fisheries website. All other data submitted will be handled as confidential material in accordance with NOAA Administrative Order 216-100, Protection of Confidential Fishery Statistics. Notwithstanding any other provisions of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

## **Magnuson-Stevens Fishery Conservation and Management Act**

Public Law 94-265

As amended through October 11, 1996

### **SEC. 301. NATIONAL STANDARDS FOR FISHERY CONSERVATION AND MANAGEMENT 16 U.S.C. 1851**

104-297

(a) IN GENERAL--Any fishery management plan prepared, and any regulation promulgated to implement any such plan, pursuant to this title shall be consistent with the following national standards for fishery conservation and management:

- (5) Conservation and management measures shall, where practicable, consider efficiency in the utilization of fishery resources; except that no such measure shall have economic allocation as its sole purpose.
- (8) Conservation and management measures shall, consistent with the conservation requirements of this Act (including the prevention of overfishing and rebuilding of overfished stocks), take into account the importance of fishery resources to fishing communities in order to (A) provided for the sustained participation of such communities, and (B) to the extent practicable, minimize adverse economic impacts on such communities.

### **SEC. 303. CONTENTS OF FISHERY MANAGEMENT PLANS 16 U.S.C. 1853**

95-354, 99-659, 101-627, 104-297

(a) REQUIRED PROVISIONS.--Any fishery management plan which is prepared by any Council, or by the Secretary, with respect to any fishery, shall-

- (2) contain a description of the fishery, including, but not limited to, the number of vessels involved, the type and quantity of fishing gear used, the species of fish involved and their location, the cost likely to be incurred in management, actual and potential revenues from the fishery, any recreational interest in the fishery, and the nature and extent of foreign fishing and Indian treaty fishing rights, if any;
- (9) include a fishery impact statement for the plan or amendment (in the case of a plan or amendment thereto submitted to or prepared by the Secretary after October 1, 1990) which shall assess, specify, and describe the likely effects, if any, of the conservation and management measures on -
  - (A) participants in the fisheries and fishing communities affected by the plan or amendment;

(14) to the extent that rebuilding plans or other conservation and management measures which reduce the overall harvest in a fishery are necessary, allocate any harvest restrictions or recovery benefits fairly and equitably among the commercial, recreational and charter fishing sectors in the fishery.



(3) Meetings of standing committees of the Council if approved in advance by the Chair.

(4) Individual member meeting with scientific and technical advisors, when approved in advance by the Chair and a substantial portion of any day is spent at the meeting.

(5) Conducting or attending hearings, when authorized in advance by the Chair.

(6) Other meetings involving Council business when approved in advance by the Chair.

(c) The Executive Director of each Council must submit to the appropriate Regional Office annually a report, approved by the Council Chair, of Council member compensation authorized. This report shall identify, for each member, amount paid, dates, and location and purpose of meetings attended.

[61 FR 32540, June 24, 1996, as amended at 63 FR 7075, Feb. 12, 1998; 66 FR 57888, Nov. 19, 2001]

### Subpart D—National Standards

#### § 600.305 General.

(a) *Purpose.* (1) This subpart establishes guidelines, based on the national standards, to assist in the development and review of FMPs, amendments, and regulations prepared by the Councils and the Secretary.

(2) In developing FMPs, the Councils have the initial authority to ascertain factual circumstances, to establish management objectives, and to propose management measures that will achieve the objectives. The Secretary will determine whether the proposed management objectives and measures are consistent with the national standards, other provisions of the Magnuson-Stevens Act, and other applicable law. The Secretary has an obligation under section 301(b) of the Magnuson-Stevens Act to inform the Councils of the Secretary's interpretation of the national standards so that they will have an understanding of the basis on which FMPs will be reviewed.

(3) The national standards are statutory principles that must be followed in any FMP. The guidelines summarize Secretarial interpretations that have been, and will be, applied under these

principles. The guidelines are intended as aids to decisionmaking; FMPs formulated according to the guidelines will have a better chance for expeditious Secretarial review, approval, and implementation. FMPs that are in substantial compliance with the guidelines, the Magnuson-Stevens Act, and other applicable law must be approved.

(b) *Fishery management objectives.* (1) Each FMP, whether prepared by a Council or by the Secretary, should identify what the FMP is designed to accomplish (i.e., the management objectives to be attained in regulating the fishery under consideration). In establishing objectives, Councils balance biological constraints with human needs, reconcile present and future costs and benefits, and integrate the diversity of public and private interests. If objectives are in conflict, priorities should be established among them.

(2) How objectives are defined is important to the management process. Objectives should address the problems of a particular fishery. The objectives should be clearly stated, practicably attainable, framed in terms of definable events and measurable benefits, and based upon a comprehensive rather than a fragmentary approach to the problems addressed. An FMP should make a clear distinction between objectives and the management measures chosen to achieve them. The objectives of each FMP provide the context within which the Secretary will judge the consistency of an FMP's conservation and management measures with the national standards.

(c) *Word usage.* The word usage refers to all regulations in this subpart.

(1) *Must* is used, instead of "shall", to denote an obligation to act; it is used primarily when referring to requirements of the Magnuson-Stevens Act, the logical extension thereof, or of other applicable law.

(2) *Shall* is used only when quoting statutory language directly, to avoid confusion with the future tense.

(3) *Should* is used to indicate that an action or consideration is strongly recommended to fulfill the Secretary's interpretation of the Magnuson-Stevens Act, and is a factor reviewers will look for in evaluating a SOPP or FMP.

## § 600.310

## 50 CFR Ch. VI (10–1–04 Edition)

(4) *May* is used in a permissive sense.  
(5) *May not* is proscriptive; it has the same force as “must not.”

(6) *Will* is used descriptively, as distinguished from denoting an obligation to act or the future tense.

(7) *Could* is used when giving examples, in a hypothetical, permissive sense.

(8) *Can* is used to mean “is able to,” as distinguished from “may.”

(9) *Examples* are given by way of illustration and further explanation. They are not inclusive lists; they do not limit options.

(10) *Analysis*, as a paragraph heading, signals more detailed guidance as to the type of discussion and examination an FMP should contain to demonstrate compliance with the standard in question.

(11) *Council* includes the Secretary, as applicable, when preparing FMPs or amendments under section 304(c) and (g) of the Magnuson-Stevens Act.

(12) *Stock or stock complex* is used as a synonym for “fishery” in the sense of the Magnuson-Stevens Act’s first definition of the term; that is, as “one or more stocks of fish that can be treated as a unit for purposes of conservation and management and that are identified on the basis of geographic, scientific, technical, recreational, or economic characteristics,” as distinguished from the Magnuson-Stevens Act’s second definition of fishery as “any fishing for such stocks.”

[61 FR 32540, June 24, 1996, as amended at 63 FR 7075, Feb. 12, 1998; 63 FR 24229, May 1, 1998]

### § 600.310 National Standard 1—Optimum Yield.

(a) *Standard 1.* Conservation and management measures shall prevent overfishing while achieving, on a continuing basis, the OY from each fishery for the U.S. fishing industry.

(b) *General.* The determination of OY is a decisional mechanism for resolving the Magnuson-Stevens Act’s multiple purposes and policies, implementing an FMP’s objectives, and balancing the various interests that comprise the national welfare. OY is based on MSY, or on MSY as it may be reduced under paragraph (f)(3) of this section. The most important limitation on the spec-

ification of OY is that the choice of OY and the conservation and management measures proposed to achieve it must prevent overfishing.

(c) *MSY.* Each FMP should include an estimate of MSY as explained in this section.

(1) *Definitions.* (i) “MSY” is the largest long-term average catch or yield that can be taken from a stock or stock complex under prevailing ecological and environmental conditions.

(ii) “MSY control rule” means a harvest strategy which, if implemented, would be expected to result in a long-term average catch approximating MSY.

(iii) “MSY stock size” means the long-term average size of the stock or stock complex, measured in terms of spawning biomass or other appropriate units, that would be achieved under an MSY control rule in which the fishing mortality rate is constant.

(2) *Options in specifying MSY.* (i) Because MSY is a theoretical concept, its estimation in practice is conditional on the choice of an MSY control rule. In choosing an MSY control rule, Councils should be guided by the characteristics of the fishery, the FMP’s objectives, and the best scientific information available. The simplest MSY control rule is to remove a constant catch in each year that the estimated stock size exceeds an appropriate lower bound, where this catch is chosen so as to maximize the resulting long-term average yield. Other examples include the following: Remove a constant fraction of the biomass in each year, where this fraction is chosen so as to maximize the resulting long-term average yield; allow a constant level of escapement in each year, where this level is chosen so as to maximize the resulting long-term average yield; vary the fishing mortality rate as a continuous function of stock size, where the parameters of this function are constant and chosen so as to maximize the resulting long-term average yield. In any MSY control rule, a given stock size is associated with a given level of fishing mortality and a given level of potential harvest, where the long-term average of these potential harvests provides an estimate of MSY.

## Fishery Conservation and Management

## § 600.315

paragraph (d) of this section to conditions in the particular fishery and explain how its choice of OY and conservation and management measures will prevent overfishing in that fishery. A Council must identify those economic, social, and ecological factors relevant to management of a particular fishery, then evaluate them to determine the amount, if any, by which MSY exceeds OY. The choice of a particular OY must be carefully defined and documented to show that the OY selected will produce the greatest benefit to the Nation. If overfishing is permitted under paragraph (d)(6) of this section, the assessment must contain a justification in terms of overall benefits, including a comparison of benefits under alternative management measures, and an analysis of the risk of any species or ecologically significant unit thereof reaching a threatened or endangered status, as well as the risk of any stock or stock complex falling below its minimum stock size threshold.

(7) *OY and foreign fishing.* Section 201(d) of the Magnuson-Stevens Act provides that fishing by foreign nations is limited to that portion of the OY that will not be harvested by vessels of the United States.

(i) *DAH.* Councils must consider the capacity of, and the extent to which, U.S. vessels will harvest the OY on an annual basis. Estimating the amount that U.S. fishing vessels will actually harvest is required to determine the surplus.

(ii) *DAP.* Each FMP must assess the capacity of U.S. processors. It must also assess the amount of DAP, which is the sum of two estimates: The estimated amount of U.S. harvest that domestic processors will process, which may be based on historical performance or on surveys of the expressed intention of manufacturers to process, supported by evidence of contracts, plant expansion, or other relevant information; and the estimated amount of fish that will be harvested by domestic vessels, but not processed (e.g., marketed as fresh whole fish, used for private consumption, or used for bait).

(iii) *JVP.* When DAH exceeds DAP, the surplus is available for JVP. JVP is derived from DAH.

[63 FR 24229, May 1, 1998]

### § 600.315 National Standard 2—Scientific Information.

(a) *Standard 2.* Conservation and management measures shall be based upon the best scientific information available.

(b) *FMP development.* The fact that scientific information concerning a fishery is incomplete does not prevent the preparation and implementation of an FMP (see related §§ 600.320(d)(2) and 600.340(b)).

(1) Scientific information includes, but is not limited to, information of a biological, ecological, economic, or social nature. Successful fishery management depends, in part, on the timely availability, quality, and quantity of scientific information, as well as on the thorough analysis of this information, and the extent to which the information is applied. If there are conflicting facts or opinions relevant to a particular point, a Council may choose among them, but should justify the choice.

(2) FMPs must take into account the best scientific information available at the time of preparation. Between the initial drafting of an FMP and its submission for final review, new information often becomes available. This new information should be incorporated into the final FMP where practicable; but it is unnecessary to start the FMP process over again, unless the information indicates that drastic changes have occurred in the fishery that might require revision of the management objectives or measures.

(c) *FMP implementation.* (1) An FMP must specify whatever information fishermen and processors will be required or requested to submit to the Secretary. Information about harvest within state boundaries, as well as in the EEZ, may be collected if it is needed for proper implementation of the FMP and cannot be obtained otherwise. The FMP should explain the practical utility of the information specified in monitoring the fishery, in facilitating inseason management decisions, and in

judging the performance of the management regime; it should also consider the effort, cost, or social impact of obtaining it.

(2) An FMP should identify scientific information needed from other sources to improve understanding and management of the resource, marine ecosystem, and the fishery (including fishing communities).

(3) The information submitted by various data suppliers should be comparable and compatible, to the maximum extent possible.

(d) *FMP amendment.* FMPs should be amended on a timely basis, as new information indicates the necessity for change in objectives or management measures.

(e) *SAFE Report.* (1) The SAFE report is a document or set of documents that provides Councils with a summary of information concerning the most recent biological condition of stocks and the marine ecosystems in the FMU and the social and economic condition of the recreational and commercial fishing interests, fishing communities, and the fish processing industries. It summarizes, on a periodic basis, the best available scientific information concerning the past, present, and possible future condition of the stocks, marine ecosystems, and fisheries being managed under Federal regulation.

(i) The Secretary has the responsibility to assure that a SAFE report or similar document is prepared, reviewed annually, and changed as necessary for each FMP. The Secretary or Councils may utilize any combination of talent from Council, state, Federal, university, or other sources to acquire and analyze data and produce the SAFE report.

(ii) The SAFE report provides information to the Councils for determining annual harvest levels from each stock, documenting significant trends or changes in the resource, marine ecosystems, and fishery over time, and assessing the relative success of existing state and Federal fishery management programs. Information on bycatch and safety for each fishery should also be summarized. In addition, the SAFE report may be used to update or expand previous environmental and regulatory

impact documents, and ecosystem and habitat descriptions.

(iii) Each SAFE report must be scientifically based, and cite data sources and interpretations.

(2) Each SAFE report should contain information on which to base harvest specifications.

(3) Each SAFE report should contain a description of the maximum fishing mortality threshold and the minimum stock size threshold for each stock or stock complex, along with information by which the Council may determine:

(i) Whether overfishing is occurring with respect to any stock or stock complex, whether any stock or stock complex is overfished, whether the rate or level of fishing mortality applied to any stock or stock complex is approaching the maximum fishing mortality threshold, and whether the size of any stock or stock complex is approaching the minimum stock size threshold.

(ii) Any management measures necessary to provide for rebuilding an overfished stock or stock complex (if any) to a level consistent with producing the MSY in such fishery.

(4) Each SAFE report may contain additional economic, social, community, essential fish habitat, and ecological information pertinent to the success of management or the achievement of objectives of each FMP.

(5) Each SAFE report may contain additional economic, social, and ecological information pertinent to the success of management or the achievement of objectives of each FMP.

[61 FR 32540, June 24, 1996, as amended at 63 FR 24233, May 1, 1998]

**§ 600.320 National Standard 3—Management Units.**

(a) *Standard 3.* To the extent practicable, an individual stock of fish shall be managed as a unit throughout its range, and interrelated stocks of fish shall be managed as a unit or in close coordination.

(b) *General.* The purpose of this standard is to induce a comprehensive approach to fishery management. The geographic scope of the fishery, for planning purposes, should cover the entire range of the stocks(s) of fish, and not be overly constrained by political

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## § 622.5

EFFECTIVE DATE NOTE: At 69 FR 30240, May 27, 2004, § 622.4 was amended by revising paragraph (a)(5) and the last sentence of paragraph (i), effective Nov. 23, 2004. For the convenience of the user the revised text is set forth as follows:

### § 622.4 Permits and fees.

(a) \* \* \*

(5) *Operator permits.* (i) The following persons are required to have operator permits:

(A) An operator of a vessel that has or is required to have a valid permit for South Atlantic rock shrimp issued under this section.

(B) An operator of a vessel that has or is required to have a charter vessel/headboat or commercial permit for Atlantic dolphin and wahoo issued under this section.

(ii) A person required to have an operator permit under paragraph (a)(5)(i) of this section must carry on board such permit and one other form of personal identification that includes a picture (driver's license, passport, etc.).

(iii) An owner of a vessel that is required to have a permitted operator under paragraph (a)(5)(i) of this section must ensure that at least one person with a valid operator permit is aboard while the vessel is at sea or offloading.

(iv) An owner of a vessel that is required to have a permitted operator under paragraph (a)(5)(i) of this section and the operator of such vessel are responsible for ensuring that a person whose operator permit is suspended, revoked, or modified pursuant to subpart D of 15 CFR part 904 is not aboard that vessel.

\* \* \* \* \*

(i) \* \* \* An operator of a vessel in a fishery in which an operator permit is required must present his/her operator permit and one other form of personal identification that includes a picture (driver's license, passport, etc.) for inspection upon the request of an authorized officer.

\* \* \* \* \*

### § 622.5 Recordkeeping and reporting.

Participants in fisheries governed in this part are required to keep records and report as follows.

(a) *Commercial vessel owners and operators—(1) Requirements by species—(i) Coastal migratory pelagic fish.* The owner or operator of a vessel that fishes for or lands coastal migratory pelagic fish for sale in or from the Gulf, Mid-Atlantic, or South Atlantic EEZ or adjoining state waters, or whose vessel is issued a commercial permit for king or Spanish mackerel, as required under

§ 622.4(a)(2)(iii) or (iv), who is selected to report by the SRD, must maintain a fishing record on a form available from the SRD and must submit such record as specified in paragraph (a)(2) of this section.

(ii) *Gulf reef fish.* The owner or operator of a vessel for which a commercial permit for Gulf reef fish has been issued, as required under § 622.4(a)(2)(v), or whose vessel fishes for or lands reef fish in or from state waters adjoining the Gulf EEZ, who is selected to report by the SRD must maintain a fishing record on a form available from the SRD and must submit such record as specified in paragraph (a)(2) of this section.

(A) *Fish traps.* In addition to the other reporting requirements in paragraph (a)(1)(ii) of this section, the owner or operator of a vessel for which a fish trap endorsement has been issued, as required under § 622.4(a)(2)(i), must comply with the following requirements.

(1) *Inspection.* The RA will establish a 1-month period for mandatory inspection of all fish trap gear, permits, and vessels. The RA will provide written notification of the inspection period to each owner of a vessel for which a fish trap endorsement has been issued as required under § 622.4(a)(2)(i). Each such owner or operator must contact the Special Agent-in-Charge, NMFS, Office of Enforcement, Southeast Region, St. Petersburg, FL (SAC) or his designee by telephone (727-570-5344) to schedule an inspection during the 1-month period. Requests for inspection must be made between 8:00 a.m. and 4:30 p.m. Monday through Friday and must be made at least 72 hours in advance of the desired inspection date. Inspections will be conducted Monday through Friday between 8:00 a.m. and 4:30 p.m. only. On the inspection date, the owner or operator must make all fish trap gear with attached trap tags and buoys and all applicable permits available for inspection on land. Vessels must also be made available for inspection as directed by the SAC or his designee. Upon completion of the inspection and a determination that all fish trap gear, permits, and vessels are in compliance, an owner or operator may resume fishing with the lawful gear. However, an

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owner or operator who fails to comply with the inspection requirements during the 1-month inspection period or during any other random inspection may not use or possess a fish trap in the Gulf EEZ until the required inspection or reinspection, as directed by the SAC, has been completed and all fish trap gear, permits, and vessels are determined to be in compliance with all applicable regulations.

(2) *Trip reports.* For each fishing trip on which a fish trap will be used or possessed, an owner or operator of a vessel for which a fish trap endorsement has been issued, as required under § 622.4(a)(2)(i), must submit a trip initiation report and a trip termination report to the SAC or his designee, by telephone, using the following 24-hour toll-free number—800-305-0697.

(i) *Trip initiation report.* The trip initiation report must be submitted before beginning the trip and must include: vessel name; official number; number of traps to be deployed; sequence of trap tag numbers; date, time, and point of departure; and intended time and date of trip termination.

(ii) *Trip termination report.* The trip termination report must be submitted immediately upon returning to port and prior to any offloading of catch or fish traps. The trip termination report must include: vessel name; official number; name and address of dealer where catch will be offloaded and sold; the time offloading will begin; notification of any lost traps; and notification of any traps left deployed for any reason.

(B) [Reserved]

(iii) *Gulf shrimp.* The owner or operator of a vessel that fishes for shrimp in the Gulf EEZ or in adjoining state waters, or that lands shrimp in an adjoining state, must provide information for any fishing trip, as requested by the SRD, including, but not limited to, vessel identification, gear, effort, amount of shrimp caught by species, shrimp condition (heads on/heads off), fishing areas and depths, and person to whom sold.

(iv) *South Atlantic snapper-grouper.* (A) The owner or operator of a vessel for which a commercial permit for South Atlantic snapper-grouper has been issued, as required under

§ 622.4(a)(2)(vi), or whose vessel fishes for or lands South Atlantic snapper-grouper in or from state waters adjoining the South Atlantic EEZ, who is selected to report by the SRD must maintain a fishing record on a form available from the SRD and must submit such record as specified in paragraph (a)(2) of this section.

(B) The wreckfish shareholder under § 622.15, or operator of a vessel for which a commercial permit for wreckfish has been issued, as required under § 622.4(a)(2)(vii), must maintain a fishing record on a form available from the SRD and must submit such record as specified in paragraph (a)(2) of this section.

(C) The wreckfish shareholder under § 622.15, or operator of a vessel for which a commercial permit for wreckfish has been issued, as required under § 622.4(a)(2)(vii), must make available to an authorized officer upon request all records of offloadings, purchases, or sales of wreckfish.

(v) *South Atlantic golden crab.* The owner or operator of a vessel for which a commercial permit for golden crab has been issued, as required under § 622.4(a)(2)(x), who is selected to report by the SRD must maintain a fishing record on a form available from the SRD.

(vi) *Atlantic dolphin and wahoo.* The owner or operator of a vessel for which a commercial permit for Atlantic dolphin and wahoo has been issued, as required under § 622.4 (a)(2)(xii), or whose vessel fishes for or lands Atlantic dolphin or wahoo in or from state waters adjoining the Atlantic EEZ, who is selected to report by the SRD must maintain a fishing record on a form available from the SRD and must submit such record as specified in paragraph (a)(2) of this section.

(2) *Reporting deadlines.* (i) Completed fishing records required by paragraphs (a)(1)(i), (ii), (iv), and (vi) of this section must be submitted to the SRD postmarked not later than 7 days after the end of each fishing trip. If no fishing occurred during a calendar month, a report so stating must be submitted on one of the forms postmarked not later than 7 days after the end of that month. Information to be reported is

indicated on the form and its accompanying instructions.

(ii) Reporting forms required in paragraph (a)(1)(v) of this section must be submitted to the SRD postmarked not later than 30 days after sale of the golden crab offloaded from a trip. If no fishing occurred during a calendar month, a report so stating must be submitted on one of the forms postmarked not later than 7 days after the end of that month. Information to be reported is indicated on the form and its accompanying instructions.

(b) *Charter vessel/headboat owners and operators*—(1) *Coastal migratory pelagic fish, reef fish, snapper-grouper, and Atlantic dolphin and wahoo.* The owner or operator of a vessel for which a charter vessel/headboat permit for Gulf coastal migratory pelagic fish, South Atlantic coastal migratory pelagic fish, Gulf reef fish, South Atlantic snapper-grouper, or Atlantic dolphin and wahoo has been issued, as required under §622.4(a)(1), or whose vessel fishes for or lands such coastal migratory pelagic fish, reef fish, snapper-grouper, or Atlantic dolphin or wahoo in or from state waters adjoining the applicable Gulf, South Atlantic, or Atlantic EEZ, who is selected to report by the SRD must maintain a fishing record for each trip, or a portion of such trips as specified by the SRD, on forms provided by the SRD and must submit such record as specified in paragraph (b)(2) of this section.

(2) *Reporting deadlines*—(i) *Charter vessels.* Completed fishing records required by paragraph (b)(1) of this section for charter vessels must be submitted to the SRD weekly, postmarked not later than 7 days after the end of each week (Sunday). Information to be reported is indicated on the form and its accompanying instructions.

(ii) *Headboats.* Completed fishing records required by paragraph (b)(1) of this section for headboats must be submitted to the SRD monthly and must either be made available to an authorized statistical reporting agent or be postmarked not later than 7 days after the end of each month. Information to be reported is indicated on the form and its accompanying instructions.

(c) *Dealers*—(1) *Coastal migratory pelagic fish.* (i) A person who purchases

coastal migratory pelagic fish from a fishing vessel, or person, that fishes for or lands such fish in or from the EEZ or adjoining state waters who is selected to report by the SRD must submit information on forms provided by the SRD. This information must be submitted to the SRD at monthly intervals, postmarked not later than 5 days after the end of each month. Reporting frequency and reporting deadlines may be modified upon notification by the SRD. If no coastal migratory pelagic fish were received during a calendar month, a report so stating must be submitted on one of the forms, in accordance with the instructions on the form, and must be postmarked not later than 5 days after the end of the month. The information to be reported is as follows:

(A) Dealer's or processor's name and address.

(B) County where fish were landed.

(C) Total poundage of each species received during that month, or other requested interval.

(D) Average monthly price paid for each species.

(E) Proportion of total poundage landed by each gear type.

(ii) *Alternate SRD.* For the purposes of paragraph (c)(1)(i) of this section, in the states from New York through Virginia, or in the waters off those states, "SRD" means the Science and Research Director, Northeast Fisheries Science Center, NMFS (see Table 1 of §600.502 of this chapter), or a designee.

(2) *Gulf red drum.* A dealer or processor who purchases red drum harvested from the Gulf who is selected to report by the SRD must report to the SRD such information as the SRD may request and in the form and manner as the SRD may require. The information required to be submitted must include, but is not limited to, the following:

(i) Dealer's or processor's name and address.

(ii) State and county where red drum were landed.

(iii) Total poundage of red drum received during the reporting period, by each type of gear used for harvest.

(3) *Gulf reef fish.* A person who purchases Gulf reef fish from a fishing vessel, or person, that fishes for or lands

such fish in or from the EEZ or adjoining state waters must maintain records and submit information as follows:

(i) A dealer must maintain at his/her principal place of business a record of Gulf reef fish that he/she receives. The record must contain the name of each fishing vessel from which reef fish were received and the date, species, and quantity of each receipt. A dealer must retain such record for at least 1 year after receipt date and must provide such record for inspection upon the request of an authorized officer or the SRD.

(ii) When requested by the SRD, a dealer must provide information from his/her record of Gulf reef fish received the total poundage of each species received during the month, average monthly price paid for each species by market size, and proportion of total poundage landed by each gear type. This information must be provided on forms available from the SRD and must be submitted to the SRD at monthly intervals, postmarked not later than 5 days after the end of the month. Reporting frequency and reporting deadlines may be modified upon notification by the SRD. If no reef fish were received during a calendar month, a report so stating must be submitted on one of the forms, postmarked not later than 5 days after the end of the month.

(iii) The operator of a car or truck that is used to pick up from a fishing vessel reef fish harvested from the Gulf must maintain a record containing the name of each fishing vessel from which reef fish on the car or truck have been received. The vehicle operator must provide such record for inspection upon the request of an authorized officer.

(4) *Gulf shrimp*. A person who purchases shrimp from a vessel, or person, that fishes for shrimp in the Gulf EEZ or in adjoining state waters, or that lands shrimp in an adjoining state, must provide the following information when requested by the SRD:

(i) Name and official number of the vessel from which shrimp were received or the name of the person from whom shrimp were received, if received from other than a vessel.

(ii) Amount of shrimp received by species and size category for each receipt.

(iii) Exvessel value, by species and size category, for each receipt.

(5) *South Atlantic snapper-grouper*. (i) A person who purchases South Atlantic snapper-grouper that were harvested from the EEZ or from adjoining state waters and who is selected to report by the SRD and a dealer who has been issued a dealer permit for wreckfish, as required under § 622.4(a)(4), must provide information on receipts of South Atlantic snapper-grouper and prices paid, by species, on forms available from the SRD. The required information must be submitted to the SRD at monthly intervals, postmarked not later than 5 days after the end of the month. Reporting frequency and reporting deadlines may be modified upon notification by the SRD. If no South Atlantic snapper-grouper were received during a calendar month, a report so stating must be submitted on one of the forms, postmarked not later than 5 days after the end of the month. However, during complete months encompassed by the wreckfish spawning-season closure (that is, February and March), a wreckfish dealer is not required to submit a report stating that no wreckfish were received.

(ii) A dealer reporting South Atlantic snapper-grouper other than wreckfish may submit the information required in paragraph (c)(5)(i) of this section via facsimile (fax).

(iii) A dealer who has been issued a dealer permit for wreckfish, as required under § 622.4(a)(4), must make available to an authorized officer upon request all records of offloadings, purchases, or sales of wreckfish.

(6) *South Atlantic golden crab*. A dealer who receives from a fishing vessel golden crab harvested from the South Atlantic EEZ and who is selected by the SRD must provide information on receipts of, and prices paid for, South Atlantic golden crab to the SRD at monthly intervals, postmarked not later than 5 days after the end of each month. Reporting frequency and reporting deadlines may be modified upon notification by the SRD.

(7) *South Atlantic rock shrimp*. (i) A dealer who has been issued a permit for



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rock shrimp, as required under § 622.4(a)(4), and who is selected by the SRD must provide information on receipts of rock shrimp and prices paid on forms available from the SRD. The required information must be submitted to the SRD at monthly intervals postmarked not later than 5 days after the end of each month. Reporting frequencies and reporting deadlines may be modified upon notification by the SRD.

(ii) On demand, a dealer who has been issued a dealer permit for rock shrimp, as required under § 622.4(a)(4), must make available to an authorized officer all records of offloadings, purchases, or sales of rock shrimp.

(8) *Atlantic dolphin and wahoo.* (i) A dealer who has been issued a permit for Atlantic dolphin and wahoo, as required under § 622.4(a)(4), and who is selected by the SRD must provide information on receipts of Atlantic dolphin and wahoo and prices paid on forms available from the SRD. The required information must be submitted to the SRD at monthly intervals postmarked not later than 5 days after the end of each month. Reporting frequencies and reporting deadlines may be modified upon notification by the SRD.

(ii) For the purposes of paragraph (c)(8)(i) of this section, in the states from Maine through Virginia, or in the waters off those states, "SRD" means the Science and Research Director, Northeast Fisheries Science Center, NMFS, (see Table 1 of § 600.502 of this chapter), or a designee.

(iii) On demand, a dealer who has been issued a dealer permit for Atlantic dolphin and wahoo, as required under § 622.4(a)(4), must make available to an authorized officer all records of offloadings, purchases, or sales of dolphin and wahoo.

(d) *Individuals with coral or live rock permits.* (1) An individual with a Federal allowable octocoral permit must submit a report of harvest to the SRD. Specific reporting requirements will be provided with the permit.

(2) A person with a Federal aquacultured live rock permit must report to the RA each deposition of material on a site. Such reports must be postmarked not later than 7 days after

deposition and must contain the following information:

(i) Permit number of site and date of deposit.

(ii) Geological origin of material deposited.

(iii) Amount of material deposited.

(iv) Source of material deposited, that is, where obtained, if removed from another habitat, or from whom purchased.

(3) A person who takes aquacultured live rock must submit a report of harvest to the RA. Specific reporting requirements will be provided with the permit. This reporting requirement is waived for aquacultured live rock that is landed in Florida.

(e) *Additional data and inspection.* Additional data will be collected by authorized statistical reporting agents and by authorized officers. A person who fishes for or possesses species in or from the EEZ governed in this part is required to make the applicable fish or parts thereof available for inspection by the SRD or an authorized officer upon request.

(f) *Commercial vessel, charter vessel, and headboat inventory.* The owner or operator of a commercial vessel, charter vessel, or headboat operating in a fishery governed in this part who is not selected to report by the SRD under paragraph (a) or (b) of this section must provide the following information when interviewed by the SRD:

(1) Name and official number of vessel and permit number, if applicable.

(2) Length and tonnage.

(3) Current home port.

(4) Fishing areas.

(5) Ports where fish were offloaded during the last year.

(6) Type and quantity of gear.

(7) Number of full- and part-time fishermen or crew members.

[61 FR 34940, July 3, 1996, as amended at 61 FR 43956, Aug. 27, 1996; 61 FR 47448, Sept. 9, 1996; 63 FR 10567, Mar. 4, 1998; 63 FR 57590, Oct. 28, 1998; 64 FR 59126, Nov. 2, 1999; 64 FR 68935, Dec. 9, 1999; 67 FR 43565, June 28, 2002; 69 FR 30241, May 27, 2004]

### § 622.6 Vessel and gear identification.

(a) *Vessel identification—(1) Applicability—(i) Official number.* A vessel for which a permit has been issued under § 622.4, and a vessel that fishes for or